

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.:

36287-04402

SERIAL NO.:

10/666,979

INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

APPLICANTS:

FRIEDMAN, et al.

FILING DATE:

September 17, 2003

GROUP ART UNIT:

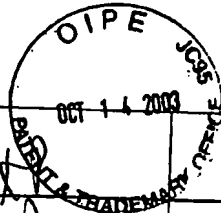
TBA

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Papers, Etc.)

RP		Merrill Lynch & Co., Mandalay Resort Group, Floating Rate Convertible Senior Debentures due 2033; Offering Memorandum; 3/17/03
RP		Industry Issues Archive; SEC Adopts Proposals Regarding Exchanges and Alternative Trading Systems; http://www.ici.org/issues/mrkt/arc-sec/98_sec_ats_adopt.html ; 12/28/98
RP		Cowan, Arnold, R., Nayar, Nandkumar, Singh, Ajai K.; How high are investment banking fees? The case of standby underwritten convertible calls; 10/1999; http://www.bus.iastate.edu/arnie
RP		Affiliated Managers Group, Inc.; \$200,000,000 Floating Rate High premium and Warrant Convertible Securities due 2033; Offering Memorandum; LIBC Feb. 2003

		<p>Merrill Lynch & Co.; \$250,000,000 Affiliated Managers Group, Inc. Floating Rate Convertible Senior Debentures due 2033; Offering Memorandum; 2/19/03</p>
<p>KP</p>		<p>Hoadley, Peter; Options Strategy Analysis Tools; http://www.hoadley.net/options/hs.htm</p>
<p>KP</p>		<p>DerivativesStrategy; Delta Hedging Problems and Solutions; http://www.derivativesstrategy.com/magazine/archive/1998/0398coll.asp</p>
<p>KP</p>		<p>Hauser, James L., Journal of Compensation and Benefits; The Stock Option Repricing Dilemma; November/December 2001</p>
<p>EXAMINER <i>Kerrin Pru</i></p>		<p>DATE CONSIDERED <i>11/21/07</i></p>